

## Award Management

March 19-20, 2007

Hosted by: Oklahoma State University
Oklahoma City, Oklahoma





## Ask Early, Ask Often!

Name	Title	Contact
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## NSF Award Management Philosophy

- Assistance Agency
- Research Carried Out by Awardee
- Integrated Oversight Enterprise:
  - Program Oversight of Scientific Progress
  - BFA Oversight of Compliance and Business Assistance
- Audit Responsibility Reside with OIG
- End to End Award Management
- Risk Based Review



#### **Types of Awards**

- Grants & Cooperative Agreements
  - Relationship is of assistance
  - Principle purpose is to accomplish a public purpose of support or stimulation

#### Contracts

- Relationship is one of procurement
- Principle purpose is for the direct benefit or use of the Federal government



## Award Administration – Relevant Roles of Awardee & NSF

#### Awardee Role

- Awardee has full responsibility for the conduct of project or activity and for adherence to the award conditions
- Awardee agrees to comply with the applicable Federal requirements and for the prudent management of all expenditures and actions
- Expenditures must be allowable, allocable, and reasonable, and all actions must be:
  - Consistent with award terms and conditions;
  - Consistent with NSF and awardee policies;
  - Represent effective utilization of resources; and
  - Do not constitute a significant project change.

#### NSF Role

Hands off project and minimal monitoring (except for CAs)



#### The NSF Award

#### Grants

- Award Letter, Grant General Conditions, occasional special conditions, and other documents incorporated by reference
- Electronic dissemination of Award Letter to AOR
- Grantee Distribution of Terms & Conditions
- Also available electronically via FastLane

#### Cooperative Agreements

- Financial & Administrative Terms and Conditions
- Programmatic Terms and Conditions



- Cooperative agreements have added conditions due to substantial involvement of NSF
  - Be aware that there is generally more reporting and oversight required for a cooperative agreement than a grant
  - There should be ongoing dialogue with the cognizant Program Officer to fully understand the conditions of this type of award

Award Date July 31, 2005 Grant No. EEC-0000000

Dr. Robert Edwards President Northern Virginia University Fairfax, VA 22033

Dear Dr. Edwards:

The National Science Foundation hereby awards \$125,000 to Northern Virginia University for additional support of the project described in the proposal referenced above.

This project, under the direction of Samuel Hunter, is entitled:

"Industry/University Cooperative Research Center for Microwave Engineering."

This award is effective August 1, 2003 and expires July 31, 2005.

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950 (42 U.S.C. 1861 et seq.) and is subject to GC-1 Grant General Conditions (10/02).

The cognizant NSF program official for this grant is Wayne Doe (703) 292-1111. The cognizant NSF grants official is Beth Adams (703) 292-2222.

Sincerely,

Jean Bucks
Grants & Agreements Officer



NATIONAL SCIENCE FOUNDATION 4201 Wilson Boulevard Arlington, VA 22230 www.nsf.gov

Project Title: An Example New Cooperative Agreement Notice

PI: John M. Doe, Jane S. Smith, Michael A. Nermal

Awardee: Amadeup Research Institute

Award Number: AST-XXXXXXX

This is to inform you that your proposal for a Cooperative Agreement, ST-XXXXXXX, has been awarded.

Please view the award details at the following web address: <a href="mailto:line-nsf.gov/researchadmin/emailtoginHome.do?awardId=XXXXXXX&amendmentId=000">line-nsf.gov/researchadmin/emailtoginHome.do?awardId=XXXXXXX&amendmentId=000</a>]

The links within the award document include important terms and conditions. Your understanding of these terms and conditions is essential for effective management of the award.



## **Grantee-Approved Notifications to NSF**

- Single 12 Month No Cost Extension
  - This is not to be used for awards that contain a zero balance
  - Does not include CAs
- Significant Changes in Methods & Procedures\*
- Unusual Occurrences\*
- Short Term Absences (less than 90 days)\*
- Conflict of Interest Not handled by Organization
- \* Note that these three items are notifications that are sent directly from PI to the AOR and then to NSF.



### **Grantee-Authorized Approvals**

- Virtually All Budget Changes are Pl's Prerogative – Subject to Organizational Approval
  - Note: Unless such changes constitute a change in objective or scope
  - Exception for Participant Support
- 90 Day Pre-Award Costs



# **NSF Prior Approval Requirements** (Technically Related)

- Change in Objective or Scope
- Change in Expiration Date (no cost extension)
- PI/Co-PI Changes
  - Withdrawal or Change of PI/Co-PI
  - Long-term Absence: Defined as 90 days or more
  - Reduction in PI Level of Effort: Defined as a reduction of 25% or more in time devoted to project



# NSF Prior Approval Requirements (Financially Related)

- Transferring the Project Effort via:
  - Subaward
  - Transfer of the Award to a New Organization ("PI Transfers")
- Reallocation of Participant Support
- Alterations and Renovations over \$25,000 (Construction)
- Change in Cost Sharing Amount Identified on Line M of the Cumulative Award Budget
- Pre-award costs more than 90 days prior



#### **Award Transfers**

- The award is made to the university
  - Institution has the discretion of appointing a substitute PI
- If willing to transfer the award to another university be sure to:
  - Reconcile final expenditures
  - Accurately determine what funds are to be transferred
  - NSF cannot intervene or redo a transfer after it is made
- Consider making a subaward rather than transferring the whole award



- Notifications and Requests:
  - Be familiar with what needs prior approval so that timely requests and notifications can be made
  - GPM Exhibit III-1 has summary listing:
     <a href="http://www.nsf.gov/pubs/manuals/gpm05\_131/ex3">http://www.nsf.gov/pubs/manuals/gpm05\_131/ex3</a>
     \_1.pdf
  - Submit all notifications and requests through FastLane



#### Notifications & Requests | MAIN ▶

Organization: NSF

Forwarded by PI

Prepared by SPO

Submitted to NSF

#### Prepare a New Notification or Request for Award #: 9999999

**Award Amount:** \$7,000,000.00 **Expiration Date:** 10/01/2005

Division: DIVISION OF HUMAN RESOURCE DEVELOPMENT

Test for Demo Award Title:

Organization: NSF

PI/PD: Alphaman, Alan

#### Select the Notification or Request Type:

GRANTEE NOTIFICATION TYPES	Topic Guidance
O Anticipated Residual Funds in excess of \$5,000 or 5%	<u>GPM</u>
Grantee Approved No Cost Extension	<u>GPG</u>
O Cost Sharing Equal To or Greater Than \$500,000	<u>GPM</u>
O Significant Changes/Delays or Events of Unusual Interest	<u>GPM</u>
O Conflicts of Interests	<u>GPM</u>
Significant Changes in Methods/Procedures	<u>GPM</u>
O Short-Term Absence of the PI/PD (Up to Three Months)	<u>GPM</u>

<b>GRANTEE REQUEST TYPES</b> (Requires NSF Approval)	Topic Guidance
O Addition of SubAward	<u>GPM</u>
O Withdrawal of PI/Co-PI	<u>GPM</u>
O Long-Term Absence of the PI/PD (Over Three Months)	<u>GPM</u>
NSF Approved No-Cost Extension	GPG
O PI Transfer	<u>GPM</u>
Pre-award Costs in Excess of 90 Days	<u>GPM</u>
Rearrangement/Alteration \$25,000 or over  (Follow these links for more information on <u>Non-FDP Organizations</u> or <u>FDP Organizations</u> .  They will open a PDF file in new window.)	<u>GPM</u>
O Change of PI	<u>GPM</u>
Significant Change in Person-Months Devoted to Project	<u>GPM</u>
Changes in Objective or Scope	<u>GPM</u>
Reallocation of Funds Budgeted for Participant or Trainee Support Costs	<u>GPM</u>

<sup>\*</sup>Topic Guidance is provided through Grant Proposal Guide (GPG) and Grant Proposal Manual (GPM) references.

Prepare

Cancel







- Required Technical Reports
  - Annual Project Reports
    - Due No Later Than 90 days prior to Expiration Date
    - Required for <u>ALL</u> Standard & Continuing Grants and Cooperative Agreements
  - Final
    - Due Within 90-days after the Expiration of an Award
    - Required for <u>ALL</u> Standard & Continuing Grants and Cooperative Agreements
    - Required for Individual Research Fellowships per Program Solicitation



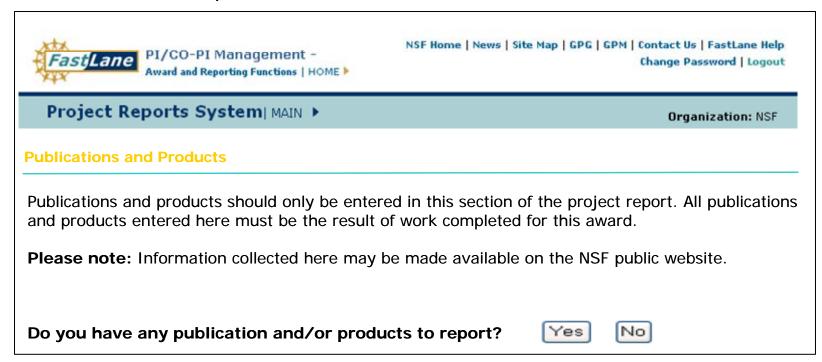
#### Technical Reports

- Report Contents Include
  - Participants
  - Activities & Findings
  - Publications & Products
  - Contributions
  - Special Requirements
- Technical Monitoring
  - Program Officer Site Visits
  - Participation in required Outreach activities
- Interim Project Reports
  - Significant Events
  - Per special conditions of the award

#### **Journal Publications Enhancements**

The Project Reports System in FastLane will be enhanced to improve the process for entering journal publications. Changes you will notice include:

- Users are now instructed to enter all publication information in only this area of the project report. A validation will be added to check if users indicate "yes" below, but then have no entries in the following screens.
- Users are now warned that publication data entered will be made available to the public via the NSF website.





#### **Journal Publications Enhancements**

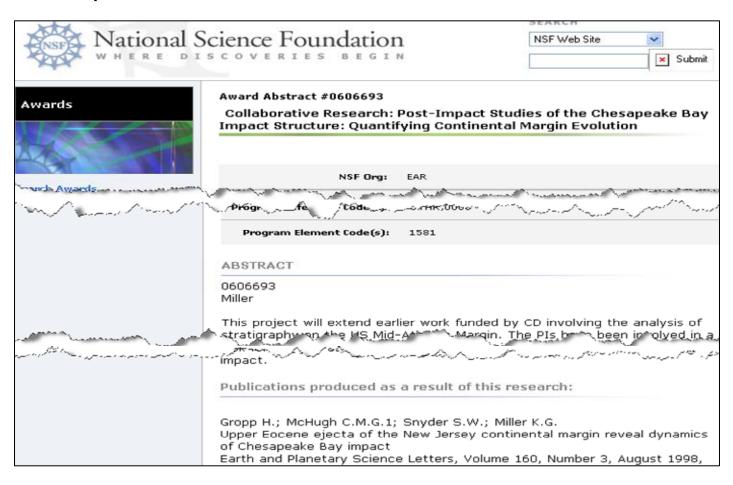
- Entering journal publications in a project report will be easier than ever:
  - Instead of manually entering required criteria for journal publications, Pls can perform a search and select their citation that is associated with the award.
  - Pls will follow these easy steps to search for and add a journal publication citation to their project report

Search for Journal Publication citation(s) by any of the following		Step 1				
Author: ga	ırgani				User enters any search	
Journal Title:					criteria and clicks the	
Article Title:					Search button	
Time Period:	Year to Date	O Last 5 Years	O All Years	Search		
		[	Search Results		0 Citations Added to Report	[Prev]1,2 [Next]
			Use the checkboxes	-	s), then dick Add to Report to add citation(s) to the p	project report
			Add to Report		Details	
Ste	ep 2		Fault conse	slip and Coulomb st	Author Garganí J. Garganí, J. , Geoffroy, L, et aí. cress variations around a pressured magma reservoir: city and magma intrusion 11 DEC 2006	
The user appropriate selects <b>Ad</b>		nd	Optin	nizing crude oil fired	Author Hamidi A. A. Hamidi, A. A. , Gargani, S, et al. heaters ): 113-117 SEP 2006	(Prev)1,2 (Next)



#### **Journal Publications Enhancements**

In an effort to quickly and easily share research outcomes with the research community and the public, journal publications submitted by PIs as part of the project report, will be displayed on the NSF website as part of the Award Search.





# Project Report Tracking & Notification System

- Projects Report System Edits
  - Provides set reporting reports annual and final divisible by 12 months
  - Tracking System includes: periods, status, and due/overdue dates
  - External & Internal Communities Ability to Track On Line
  - Notification reminders automatic to PIs and SROs
  - Award Notices URL with pass through to Project Report Module on FastLane
  - Periodic 'archiving' of over-aged reports
  - Back office systems to include hard edits
    - No future funding if overdue annual/final reports
    - No PI changes or no cost extensions
    - No changes after final report approval
    - Report status can't be re-set for annual reports

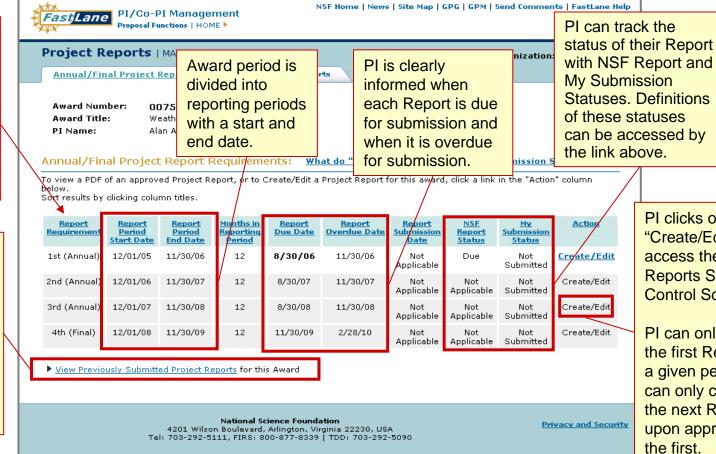
FastLane – View Awards by Report Requirements or Creation Eligibility (new screen) NSF Home | News | Site Map | GPG | GPM | Send Comm PI/Co-PI Management Definitions FastLane Proposal Functions | HOME provided to the user so the right Project Reports | MAIN ▶ Organizatio report is created. What is the difference between an Annual, Final, and Interim Project Report \*\*\*\*\*nal/Final Project Reports **GPRA Facility Reporting Interim Project Reports** Awards are now Search divided into tabs for Capability by earch for Awards with Annual/Final Project Report requirements by the following: APR/FPR and GPRA Award report requirements Award Number: Award Expiration Date: Search Number and as well as for IPR Award creation eligibility. **Expiration** wards with Annual/Final Project Report Requirements: Date To view Project Report requiremnts for an award, click the "Award Number" (e.g.: 0075773) link below. Sort results by clicking column titles. Principal Investigator's Name: Alphaman, Alan 13 records found, displaying 11 to 13. Previous 1011. 2 **Award Number Award Type Award Title Award Date** Award Expiration Date 0075773 Continuing Grant Effects of Global Warming on Bird Migrations 12/01/2004 11/30/2005 PI locates and 0075774 10/31/2005 Cooperative Agreement Splitting the Atom (Cancelled) 11/30/2004 selects the 0075775 Standard Weather Trends for the Last Decade 12/01/2005 11/30/2009 Award from the list to create Project Award and Report by **National Science Foundation** clicking on the **Award Expiration** 4201 Wilson Boulevard, Arlington, Virginia 22230, USA Tel: 703-292-5111, FIRS: 800-877-8339 | TDD: 703-292-5090 Award number Dates shown to text link. user.



#### FastLane – View Selected Award's Project Report Requirements (new screen)

PI views Project Report requirements for reporting periods generated by Awards System for selected Award.

Archive of previous Reports submitted prior to incorporation of new functionality can now be accessed from this screen by clicking link.



PI clicks on the "Create/Edit" link to access the Project Reports System Control Screen.

PI can only create the first Report for a given period and can only create the next Report upon approval of the first.



# Publication & Data Sharing Requirements

- Acknowledgement of Support
- Disclaimer
- Copyrightable Material
- Sharing of Data



### **Data Sharing by NSF Awardees**

#### Data access:

- Helps promote scientific research by permitting other qualified scientists to replicate results;
- To reinterpret data or extend research methods to new areas;
- Thus build upon the existing base of scientific knowledge



# NSF Grant General Conditions (GC-1) – March 15, 2006

- 38. Sharing of Findings, Data, and Other Research Products
  - a. NSF expects significant findings from research and education activities it supports to be promptly submitted for publication, with authorship that accurately reflects the contributions of those involved. It expects investigators to share with other researchers, at no more than incremental cost and within a reasonable time, the data, samples, physical collections and other supporting materials created or gathered in the course of the work. It also encourages grantees to share software and inventions or otherwise act to make the innovations they embody widely useful and usable.
  - b. Adjustments and, where essential, exceptions may be allowed to safeguard the rights of individuals and subjects, the validity of results, or the integrity of collections or to accommodate legitimate interests of investigators.



### **Implementing Data Sharing**

- GC 1, No. 38: Sets a basic standard for expected data sharing by NSF awardees
  - NSF Programs may implement this sharing policy in ways appropriate to the scientific field and to specific circumstances
  - Specific data sharing policies including data "pooling"
     are particularly appropriate where for example,
     research transcends national boundaries, and/or where
     "pooled" data promotes discovery of patterns or
     interrelationships that would not be evident from
     individual research data



## **Examples of Specific Data Sharing Policies at NSF**

- Division of Ocean Sciences: "Data and Sample Policy"
  - http://www.nsf.gov/pubs/2004/nsf04004/print\_toc.htm
- Office of Polar Programs: "Guidelines and Award Conditions for Scientific Data"
  - http://www.nsf.gov/pubs/1999/opp991/opp991.doc
- Directorate of Social, Behavioral, and Economic Sciences: "SES Data Archiving Policy"
  - http://www.nsf.gov/sbe/ses/common/archive.jsp



### Other Administrative Requirements

- Use of Consultants
- Equipment
- Travel
- Program Income



## NSF Cost Sharing Requirements

- October 13-14<sup>th</sup>, 2004, the NSB approved a revision to the current cost sharing policy:
  - Eliminates NSF program specific cost sharing requirements
  - Requires only the statutory cost sharing of onepercent
  - The acceptable methods for meeting the statutory cost sharing requirement are specified in the NSF Grant Policy Manual in Section 333.4
  - Cost sharing commitments contained in current active awards remain unchanged
  - No NSF program officer may unilaterally impose a requirement to cost share



# And Lots of Other Statutory & Regulatory Stuff.....

- Nondiscrimination
- Animal Welfare
- Recombinant DNA Molecules
- Clean Air and Water
- Human Subjects
- Investigator Financial Disclosure
- Debarment and Suspension



### **Audit Requirements**

- Grant General Conditions (GC-1) Article 23
- Federal Demonstration Partnership (FDP)
   Terms and Conditions Section .26
- Grant Policy Manual Section 350
- NSF Office of Inspector General Activities



### And when things really go wrong...

- The award may be suspended or terminated in whole or in part in any of the following situations:
  - By NSF when:
    - the grantee has materially failed to comply with the terms and conditions of the grant;
    - the Foundation has other reasonable cause;
    - ordered by the Deputy Director under NSF's Regulation on Research Misconduct (45 CFR §689);
    - NSF and the grantee by mutual agreement (if NSF and the grantee cannot reach an agreement, NSF reserves the right to unilaterally terminate the grant); or
  - By the grantee on written notice to NSF



## Accessing Documents on the NSF Website

- http://www.nsf.gov
- Click: For the Education & Research Community
- Proposal Preparation
  - Grant Proposal Guide
  - Frequently Asked Questions
- Award Administration
  - Grant Policy Manual
  - Grant & Agreement Conditions
  - Frequently Asked Questions



### **NSF Websites**

National Science Board	http://www.nsf.gov/nsb/		
Director/Deputy Director	http://www.nsf.gov/od/		
Inspector General	http://www.nsf.gov/oig/		
Office of Cyberinfrastructure	http://www.nsf.gov/dir/index.jsp?org=OCI		
Office of International Science and Engineering	http://www.nsf.gov/div/index.jsp?div=OISE		
Office of Equal Opportunity Programs	http://www.nsf.gov/od/oeo/index.jsp		
Office of Legislative and Public Affairs	http://www.nsf.gov/od/lpa/index.jsp		
Office of the General Counsel	http://www.nsf.gov/od/ogc/index.jsp		
Office of Polar Programs	http://www.nsf.gov/dir/index.jsp?org=opp		
Office of Integrative Activities	http://www.nsf.gov/od/oia/index.jsp		
Biological Sciences	http://www.nsf.gov/dir/index.jsp?dir=BIO		
Social, Behavioral & Economic Sciences	http://www.nsf.gov/dir/index.jsp?dir=SBE		
Computer & Information Science & Engineering	http://www.nsf.gov/dir/index.jsp?dir=CISE		
<b>Education &amp; Human Resources</b>	http://www.nsf.gov/dir/index.jsp?dir=EHR		
Engineering	http://www.nsf.gov/dir/index.jsp?dir=ENG		
Budget, Finance & Award Management	http://www.nsf.gov/bfa/		
Geosciences	http://www.nsf.gov/dir/index.jsp?dir=GEO		
Information Resource Management	http://www.nsf.gov/oirm/		
Mathematical & Physical Sciences	http://www.nsf.gov/dir/index.jsp?dir=MPS		